

IN THE UNITED STATES PATENT & TRADEMARK OFFICE

Applicant:

Vali Tadayon, et a

Paper No:

Serial No.

09/421,808

Group Art Unit:

JAN 2 2 2001

Filed:

October 20, 1999

Examiner:

Technology Center 2100

For:

METHOD AND APPARATUS FOR AN ACTIVE FILE SYSTEM

INFORMATION DISCLOSURE STATEMENT

THE ASSISTANT COMMISSIONER FOR PATENTS Washington, D.C. 20231

Dear Sir:

In accordance with 37 C.F.R. §§1.97 and 1.98, Applicants herewith submit certain patent references and other information, which the Patent & Trademark Office may wish to consider in examining the above-identified application. The references and information are provided below, and are also listed on the attached Form PTO-1449.

REFERENCES	INVENTOR	ISSUE DATE
4,106,060	Chapman, Jr.	August 8, 1978
4,503,499	Mason, et al.	March 5, 1985
4,532,588	Foster	July 30, 1985
4,558,413	Schmidt, et al.	December 10, 1985
4,646,235	Hirosawa, et al.	February 24, 1987
4,648,061	Foster	March 3, 1987
4,658,370	Erman, et al.	April 14, 1987
4,713,780	Schultz, et al.	December 15, 1987
4,713,837	Gordon	December 15, 1987
4,730,259	Gallant	March 8, 1988
4,734,931	Bourg, et al.	March 29, 1988
4,763,277	Ashford, et al.	August 9, 1988
4,768,144	Winter, et al.	August 30, 1988
4,805,207	McNutt, et al.	February 14, 1989
4,809,219	Ashford, et al	February 28, 1989
4,827,418	Gerstenfeld	May 2, 1989
4,831,526	Luchs, et al.	May 16, 1989
4,837,798	Cohen, et al.	June 6, 1989
4,849,878	Roy	July 18, 1989
4,860,352	Laurance, et al.	August 22, 1989
4,866,634	Reboh, et al.	September 12, 1989
4,876,711	Curtin	October 24, 1989
4,879,648	Cochran, et al.	November 7, 1989
4,884,217	Skeirik, et al	November 28, 1989
4,890,240	Loeb, et al.	December 26, 1989

4,891,766	Derr, et al.	January 2, 1990
4,899,136	Beard, et al.	February 6, 1990
4,902,881	Janku	February 20, 1990
4,912,648	Tyler	March 27, 1990
4,914,590	Loatman, et al.	April 3, 1990RECEIVED
4,918,588	Barrett, et al.	April 17, 1990 9 9 2001
4,924,408	Highland	April 17, 1990 May 8, 1990 IAN 2 2 2001
4,931,933	Chen, et al.	June 5, 1990 Center 2100
4,937,036	Beard, et al.	June 5, 1990 June 26, 1990
4,939,507	Beard, et al.	July 3, 1990
4,941,170	Herbst	July 10, 1990
4,949,278	Davies, et al	August 14, 1990
5,040,141	Yazima, et al.	August 13, 1991
5,063,523	Vrenjak	November 5, 1991
5,103,498	Lanier, et al.	April 7, 1992
5,107,419	MacPhail	April 21, 1992
5,175,795	Tsuda, et al.	December 29, 1992
5,245,532	Mourier	September 14, 1993
5,283,856	Gross, et al.	February 1, 1994
5,317,725	Smith, et al.	May 31, 1994
5,377,354	Scannell, et al.	December 27, 1994
5,555,346	Gross, et al.	September 10,1996
5,627,764	Schutzman, et al.	May 6, 1997
5,630,127	Moore, et al.	May 13, 1997
5,706,452	Ivanov	January 6, 1998
5,706,502	Foley, et al.	January 6, 1998
5,802,253	Gross, et al.	September 1, 1998
5,835,758	Nochur, et al.	November 10, 1998
5,848,271	Caruso, et al.	December 8, 1998
5,862,325	Reed, et al.	January 19, 1999
5,907,704	Gudmundson, et al.	May 25, 1999
5,917,489	Thurlow, et al.	June 29, 1999
5,999,978	Angal, et al.	December 7, 1999
6,006,215	Retallick	December 21, 1999
6,026,365	Hayashi	February 15, 2000
6,058,395	Buzaglo, et al.	May 2, 2000
6,073,142	Geiger, et al.	June 6, 2000
6,088,702	Plantz, et al.	July 11, 2000
6,088,717	Reed, et al.	July 11, 2000
6,101,500	Lau	August 8, 2000

OTHER REFERENCES (The following references are divided into two sets (A and B). This division, however, was merely a function of fitting the attached copies into the shipping container. No weight should be implied by virtue of the division as these references are ordered by publication date.)

Product Brochure entitled "BeyondMail Electronic Mail for Productive Workgroups," by Beyond Incorporated, consisting of cover page and 6 pages of information (undated).

IntraBlocks Brochure - e:Folders; No date; 2 pp.

Gold, E., "ETC: An AI Based Electronic Mailer," Research Notes, Computer Research Laboratory, Tektronix, Inc., P.O. Box 500, MS 50-662, Beaverton, OR 97077, Draft - June 28, 1985, pp. 1-15 plus 10 pages consisting of references, list of figures, and list of tables.

Greif, I. and Sarin, S., "Data Sharing in Group Work," Massachusetts Institute of Technology, Laboratory for Computer Science, Oct. 1986, pp. 1-10. (Note: This paper was to have appeared in proceedings of Conference on Computer-Supported Cooperative Work, Dec. 3-5, 1986, Austin, Texas).

Malone, T.W.,; Grant, K.R.; Lai, K.Y.; Rao, R.; and Rosenblitt, D., "Semistructured Messages are Surprisingly Useful for Computer-Supported Coordination," Research Contributions, ACM Transactions on Office Information Systems, Vol. 5, No. 2, Apr. 1987, pp. 115-131.

Malone, T.W.; Grant, K.R.; Turbak, F.A.,; Brobst, S.A.; and Cohen, M.D., "Intelligent Information-Sharing Systems," Communications of the ACM, May 1987, Vol. 30, No. 5, pp. 390-402.

Rosenburg, J., Everhart, C.F., and Borenstein, N.S., "An Overview of the Andrew Message System," Jul. 1987, Copyright 1988 ACM 0-89791-245=4/88/0001/0099, pp. 99-108.

Lai, K.Y., Malone, T.W., and Yu, K.C., "Object Lens: A 'Spreadsheet' for Cooperative Work," ACM Transactions on Office Information Systems, 1988, pp.1-28 plus Figs. 1-11.

Dutta, S. "An Event Based Fuzzy Temporal Logic" Copyright 1988 IEEE pp. 74-71.

Arcidiacono, T. "Expert System On-Call", Copyright 1988, PC Tech Journal, Nov. 1988, pp. 112-135.

Kottemann, et al, "Process-Oriented Model Integration," Proc. 21st Annual Hawaii Intl Conf. on System Sciences, 5-8 Jan. 1988, 396-402.

Putz, S. "Babar: An Electronic Mail Database," Copyright 1988 Xerox Corporation, Palo Alto, California, Xerox Parc, SSL-88-1, Apr, 1988, pp. 1-17 with attached Babar User Guide, pp. 1-30.

Pollock, S., "A Rule-Based Message Filtering System," ACM Transactions on Office Information Systems, Vol. 6, No. 3, Jul. 1988, pp. 232,254.

Crowston, K. and Malone, T.W., "Intelligent Software Agents," Byte, Dec. 1988, pp. 267-271.

Malone, T.W.; Grant, K.R.; Lai, K.Y.; Rao, R.; and Rosenblitt, D.A. "The Information Lens: An Intelligent System for Information Sharing and Coordination,: Technological Support for

Work Group Collaboration, M.H. Olson (Ed.), Hillsdale, NJ: Lawrence Erlbaum Associates, 1989, pp. 65-88.

Overton, et al., "A Fuzzy Representation for Event Occurrence", SPIE Vol. 1198 Sensor Fusion II: Human and Machine Strategies, 1989, 472-479.

MacKay, W.E.; Malone, T.W.; Crowston, K.; Rao, R.; Rosenblitt, D.; and Card, S.K., "How do Experienced Information Lens Users Use Rules?" Copyright 1989 ACM (Association for Computing Machinery), CHI'89 Proceedings, May 1989, pp. 211-216.

Roberto, et al, "A Knowledge-Based System for Seismolocial Signal Understanding", 1989 Intl. Conf. on Acoustics, Speech and Signal Processing, 23-26 May 1989, M8.9.

MacKay, W.E.; Gardner, B.R.; Mintz, T.H.; PITO, R.A.; and Siegal, J.B., "Argus Design Specification," Copyright 1989 Massachusetts Institute of Technology, Draft: 17 Oct. 1989, pp. 1-50.

Press Releases, Newspaper and Magazine Articles, and Prepublication Research Notes relating to Beyond, Inc., and BeyondMail, dated between Oct. 17, 1989, and Sep. 24, 1991, individually listed and identified as items #1 through #33 on Cover Sheet Entitled 'Appendix A'.

Fischer International Systems Corporation, "EMC(^2)TAO Electronic Mail Communication Center", Copyright 1990.

D.A. Young, "The X Window System: Programming and Applications with Xt OSF/Motif® Edition", Prentice Hall (1990), pp. 1-13, 123-144.

Lee, J. and Malone, T.W., "Partially Shared Views: A Scheme for Communicating Among Groups that use Different Type Hierachies," ACM Transactions on Information Systems, Vol. 8, No. 1, Jan. 1990, pp. 1-26.

Perkins, W.A., "Adding Temporal Reasoning to Expert-System-Building Environments" Copyright 1990 IEEE Expert, Feb. 1990, pp. 23-30.

Marshak, D.S., "Filters: Separating the Wheat from the Chaff," Patricia Seybold's Office Computing Report, Vol. 13, No. 11, Nov. 1990, pp. 1-8.

Product Brochure entitled "BeyondMail Personal Productivity Tool," Beyond Incorporated, 2 pp.

Ayre, R., "Evolving E-Mail: Will Client/Server get the Message?", PC Magazine, Sep. 10, 1991, p. 322(2).

Fischer International System Corporation, "Workflow.2000 The Business Tool for EMC(^2)TAO", Copyright 1992.

Fischer International Systems Corporation, "Workflow.2000 The Business Tool for Office Vision", Copyright 1992.

Search Report, "Rule Base or Expert System", Dialog Information Services, Inc., Jan.

1992pp. 1-11.

Press Release Article of Workflow.2000 by Fischer International Systems Corporation, Jan. 1993.

Shark!Bytes, "Shark!Mail 2.0 Workflow as Nature Intended", Lanshark Systems Newsletter, Vol. 3, Issue 1, Copyright Apr., 1993.

 \mathbf{B}

Jackson, William; "DOE Gives Systems Makeover", Government Computer News, Copyright 1998, Vol. 17, No. 5, 2 pp.

Bock, Geoffrey E.; "e:Folders 2.0 from IntraBlocks", Internet Tools and Technologies Service - e-Bulletin, Patricia Seybold Group, 1998; pp. 1, 3-6

IntraBlocks; http://www.intrablocks,com/intrablocks/index.asp; viewed on 8/23/99; 3 pp.

UPS Document Exchange; http://www.ups.com/bussol/docex.html; viewed on 8/23/99; 4 pp.

Services; http://www.docspace.com/services/services.html; viewed on 8/24/99; 5 pp.

WebNFS: The Filesystem for the World Wide Web; Copyright 1994-1999; 3 pp.

Shah, R., What WebNFS Means to You; http://www.sunworld.com/swol-08-1996/f_swol-08-connectivity.html; viewed on 5/29/00; pp.1-5

NIS and NIS+; http://www.whatis.com/nis.htm; viewed on 5/29/00; p. 1

RPC; http://www.whatis.com/rpc.htm; viewed on 5/29/00; p. 1

NFS; http://www.whatis.com/nfs.htm; viewed on 5/29/00; p. 1

WebNFS; http://www.whatis.com/webnfs.htm; viewed on 5/29/00; p. 1

Ganymede: Introduction; http://www.arlut.utexas.edu/gash2/intro.html; viewed on 5/29/00; p. 1

NFS; http://webopedia.internet.com/TERM/N/NFS.html; viewed on 5/29/2000 1:40 p.m.; p. 1

CIFS; http://webopedia.internet.com/TERM/C/CIFS.html; viewed on 5/29/2000 1:46 p.m.; p. 1

NSF Security; http://www.sun.com/software/white-papers/wp-nfs/nfs_15.html; viewed on 5/29/2000 6:59 p.m.; p. 1-5

UPS Document Exchange; http://www.ups.at/using/services/domestic/doceschange.html; viewed on 5/30/00; p. 1

Critical Path: How to Use Your Secure Teach Workspace; http://www.docspace.com/howto/manager/manager_quicktips_creatingteam.html; viewed on

5/30/00; p. 1

Critical Path: Case Studies - Manager;

http://www.docspace.com/about/services_manager_casestud.html; viewed on 5/30/00; p. 1

Critical Path: Features & Benefits; http://www.docspace.com/about/services_features.html; viewed on 5/30/00; p. 1

Critical Path: Manager; http://www.docspace.com/about/services_manager.html; viewed on 5/30/00; p. 1

Critical Path: Drive; http://www.docspace.com/about/services_drive.html; viewed on 5/30/00; p. 1

Critical Path: Whats New with Critical Paths Secure File Services; http://www.docspace.com/whats new/april.html; viewed on 5/30/00; p. 1-3

IntraBlocks - Integration Ware; http://www.integrationware.com; viewed on 5/30/00; p. 1

IntraBlocks - Compatibility; http://www.integrationware.com/Intrablocks/ibspecifications.htm; viewed on 5/30/00; p. 1-2

IntraBlocks - Architecture; http://www.integrationware.com/Intrablocks/ib-architecture.htm; viewed on 5/30/00; p. 1-2

IntraBlocks - Features; http://www.integrationware.com/Intrablocks/ib-features.htm; viewed on 5/30/00; p. 1-3

Configuring Access Control;

http://www.sun.com/sims/Docs 4.0/html/sunds/admin/c0408.htm; viewed on 8/14/00; pp.1-4

Access Control; http://www.sun.com/sims/Docs_4.0/html/sunds/admin/c0104.htm; viewed on 8/14/00; pp. 1-4

Messaging; http://whatis.techtarget.com/WhatIs_Definition_Page/0,4152,212554,00.html; viewed on 9/6/00; p. 1

Message; http://whatis.techtarget.com/WhatIs_Definition_Page/0,4152,212552,00.html; viewed on 9/6/00; p. 1

Messaging Server:

http://whatis.techtarget.com/WhatIs_Definition_Page/0,4152,214556,00.html; viewed on 9/6/00; p. 1

File System; http://whatis.com/WhatIs_Definition_Page/0,4152,212120,00.html; viewed on 9/28/00; p. 1

Network File System; http://whatis.com/WhatIs_Definition_Page/0,4152,214121,00.html; viewed on 9/28/00; p. 1

File; http://www.whatis.com/WhatIs_Definition_Page/0,4152,212118,00.html; viewed on

September 29, 2000; p. 1

Search Report, "Metadata and Folder and Rule", Dialog Information Services, Inc., Oct. 2000, pp.1-99, 00-67. (Specific hits are listed on Exhibit B attached to search report.)

OLE-DB Simple Provider: A Data Binding API for IE4/MSHTML; http://msdn.microsoft.com/workshop/database/databind/simpletabulardata.asp; viewed on 10/20/00; pp. 1-6 RECEIVED

emedicine: Instant Access to the Minds of Medicine - About Us; http://www.emedicine.com/aboutus.shtml; viewed on 1/4/01; p. 1

JAN 2 2 2001

Technology Center 2100 emedicine: Instant Access to the Minds of Medicine - World Medical Library; http://www.emedicine.com/content2.shtml; viewed on 1/4/01; p. 1-2

Copies of the listed references are provided. No representation is made or intended that a prior art search has been made or that no better art than the listed is available. It is respectfully requested that the information be considered by the Examiner and made of record in the present application.

The Assistant Commissioner for Patents is authorized to charge any deficiency or credit any overpayment to Frost Brown Todd LLC Deposit Account No. 06-2226.

> Ria Farrell Schalnat Registration No. 47,058 Telephone (513) 651-6167 FROST BROWN TODD LLC 2200 PNC Center 201 East Fifth Street Cincinnati, Ohio 45202-4182

CERTIFICATE OF MAILING

I hereby certify that a copy of this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to The Assistant States Postal Service as first class man in an envelope audiessed to The Commissioner of Patents, Washington, D.C. 20231 this /// day of parally, 2001.

CINlibrary/1011712.1